



*IPW*

**PATENT**

Attorney Docket No. 432383-600013

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:                   Levergood et al.  
Serial No.:                               09/005479  
Filing Date:                            January 12, 1998  
For:                                       Internet Server Access Control and Monitoring Systems  
Art Unit:                                 2145  
Examiner:                               Patrice L. Winder

Commissioner for Patents  
Mail Stop Amendment  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is submitted in compliance with 37 CFR 1.56; 1.97 and 1.98. Applicants respectfully request that the listed items be considered and made of record in the present application by completing and returning the enclosed Form PTO-1449.

No fee is believed to be due for entry of this Information Disclosure Statement. However, if any fee should be required, please charge such fee to Jones Day's Deposit Account No. 501432, Reference No. 432383600013.

Respectfully submitted,

*David B. Cochran*

David B. Cochran, Esq., Reg. No. 39,142  
JONES DAY  
North Point  
901 Lakeside Avenue  
Cleveland, Ohio 44114  
(216) 586-3939

June 8, 2006

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By: *Suzanne Koston* /Suzanne Koston on June 8, 2006.



PTO/SB/08A (10-01)

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
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**Complete if Known**

Application Number	09/005479
Filing Date	January 12, 1998
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383600013

Sheet

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of

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		4305059	12/18/1981	Benton	
		4528643	7/9/1985	Freeny, Jr.	
		4529870	7/16/1986	Chaum	
		4734858	3/29/1988	Schlaflly	
		4755940	7/5/1988	Bracht et al.	
		4759063	7/19/1988	Chaum	
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		4775935	10/4/1988	Yourick	
		4795890	1/3/1989	Goldman	
		4799156	1/17/1989	Shavit et al.	
		4812628	3/14/1989	Boston et al.	
		4827508	5/2/1989	Shear	
		4891503	1/2/1990	Jewell	
		4922521	5/1/1990	Krikke et al.	
		4926480	5/15/1990	Chaum	
		4935870	6/19/1990	Burk Jr., et al.	
		4947028	8/7/1990	Gorog	
		4947430	8/7/1990	Chaum	
		4949380	8/14/1990	Chaum	
		4972318	11/20/1990	Brown et al.	
		4982346	1/1/1991	Girouard et al.	
		4987593	1/22/1991	Chaum	
		4991210	2/5/1991	Chaum	
		4992940	2/12/1991	Dworkin	
		4996711	2/26/1991	Chaum	
		5025373	6/18/1991	Keyser Jr., et al.	
		5060153	10/22/1991	Nakagawa	
		5077607	12/31/1991	Johnson et al.	
		5105184	4/14/1992	Pirani et al.	
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		5341429	8/23/1994	Stringer et al.	
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		5383113	1/17/1995	Kight et al.	
		5414833	5/9/1995	Hershey et al.	
		5475585	12/12/1995	Bush	
Examiner Signature					Date Considered

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<b>Attorney Docket Number</b>	432383600013

Sheet	2	of	8
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January 12, 1998

First Named Inventor

Levergood et al.

**Art Unit**

2145

**Examiner Name**

Patrice L. Winder

Attorney Docket Number

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## FOREIGN DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date -MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)			
		0172670EP	2/26/1986	Technion Research & Development Foundation	
		GB 2102606	2/2/1983	National Research Development Corporation	
		JP 410191	1/1992		
		JP 05-158963	6/25/1993	Omron Corp.	
		WO 91/16691	10/31/1991	Jonhig Limited	
		WO 93/10503	5/27/1993	Citibank N.A.	

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		<b>PLEADINGS:</b>
		<u>Amazon.com's Reply in Support of Renewed Motion to Stay</u>
		Deposition of G. Winfield Treese, dated October 27, 2004.
		<u>Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004)</u>
		<u>Joint Claim Construction Chart (Patent Local Rule 4-5D)), filed December 27, 2004 with Appendix A</u>
		<u>Memorandum Opinion dated April 7, 2005</u>
		<u>Motion to Stay [Renewed] by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) (Entered: 04/05/2005)</u>
		<u>Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780</u>
		<u>Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination.</u>
		<u>Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004.</u>
		<u>Soverain's Opposition to Amazon's Renewed Motion to Stay</u>
		<u>Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005.</u>
		<u>Soverain's Reply to Response to Motion re: Motion to Stay</u>
		<u>Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Seraphine, Jennifer) (Entered:03/17/2005)</u>
		<u>Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatores (Nos. 1-14) dated March 21, 2005</u>
		<u>Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005</u>
		<u>Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatores (Nos. 17-38) dated March 21, 2005</u>
		<u>Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005.</u>
		<u>Transcript of the Markmam Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005.</u>
		<u>VideoTaped Deposition of Andrew Payne dated March 11, 2005.</u>
		<u>VideoTaped Deposition of Glenn Crocker with Exhibits (March 10, 2005)</u>
		<u>VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts).</u>
		<u>VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts).</u>
		<u>VideoTaped Deposition of Stephen Morris dated March 9, 2005.</u>
Examiner Signature		Date Considered

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/005479
				Filing Date	January 12, 1998
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
				Attorney Docket Number	432383600013
Sheet	4	of	8		
Amazon.com Inc.'s Unopposed Motion for Leave to Amend its Answer to Include Allegations Regarding Stuff.com Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112					
Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '492 claims 17-18 and 35-36, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102					
Declaration of James E. Geringer in Support of Amazon.com, Inc's Motion for Leave to Amend its Answer and Counterclaims to Add Stuff.com					
Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005)					
Deposition of Joshua Smith with Exhibits (March 2, 2005)					
Deposition of Michael Lazzaro with Exhibits (March 9, 2005)					
Deposition of Thomas Soulanille with Exhibits (March 14, 2005)					
Exhibit 1 of Geringer Declaration: Excerpts of Deposition of Michael Kuniavsky					
Exhibit 2 of Geringer Declaration: E-mail from Brooks Cutter to Mike Kuniavsky (June 14, 1994)					
Exhibit 3 of Geringer Declaration: Excerpts of Deposition of Richard Boake					
Exhibit 5 of Geringer Declaration: Excerpts of Deposition of Andrew Payne					
Exhibit 6 of Geringer Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994)					
Exhibit 7 of Geringer Declaration: Excerpts of Deposition of Winfield Treese					
Exhibit 8 of Geringer Declaration: Amazon.com, Inc.'s [Proposed] fourth Amended Answer, Affirmative Defenses, and Counterclaims to Sovereign Software, LLC's Complaint (Redlined Version)					
Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gao dated July 26, 2004					
Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 18, 2005)					
Videotaped Deposition of Kevin Ming-Wei Kadaia Hughes with Exhibits (March 21, 2005)					
Videotaped Deposition of Michael Kuniavsky with Exhibits (February 22, 2005)					
Videotaped Deposition of Phillip Hallam-Baker with Exhibits (March 11, 2005)					
Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005)					
<b>PUBLICATIONS:</b>					
"Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2.					
"CompuServe Videotex Network Offers Marketing Research Service, Ad Test," Marketing News, Nov. 25, 1983 p. 21.					
"Electronic In-Home Shopping: "Our Stores are Always Open", " Chain Store Age Executive, Mar. 1985, pp. 111,116.					
"Mall Offers Holiday Treat for Hackers," Advertising Age, Nov. 13, 1985, p. 76.					
"Redcoats Join Communications Fight," Industry Week, Feb. 22, 1982, pp. 108-109.					
"Suddenly, Videotex is Finding an Audience," Business Week, Oct. 19, 1987, pp. 92-94.					
"Taking Advantage of the Past," Advertising Age, Apr. 11, 1983, pp. M36-37.					
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<b>Sheet</b>	<b>5</b>	<b>of</b>	<b>8</b>	<b>Attorney Docket Number</b>	432383600013
<p>Case Study: The CIRRU Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985.</p> <p>CCITT Blue Book, vol. VIII; pp. 48-81, Nov. 14-25, 1988.</p> <p>Chaum et al.; "Untraceable Electronic Cash"; Advances in Cryptology; pp. 319-327; 1988.</p> <p>Cohen, Danny; "Computerized Commerce"; ISI Reprint Series IS/RS-89-243; Oct., 1989; Reprinted from Information Processing 89, Proceedings of the IFIP World Computer Congress, held Aug. 28-Sep. 1 1989.</p> <p>Cohen, Danny; "Electronic Commerce"; University of Southern California Information Sciences Institute, Research Report ISI/RR-89-244; Oct., 1989.</p> <p>Compuserve International; Compuserve Information Service Users Guide; pp. 109-114; 1986.</p> <p>Computer Fraud &amp; Security Bulletin, "Underlying Security Mechanisms," Mar. 1997.</p> <p>Computer Shopper; "Internet for Profit"; pp. 180-182, 187, 190-192, 522-528, 532, 534; Nov., 1994.</p> <p>Consumers Plugging Into New Electronic Mall, Advertising Age, Mar. 4, 1985, p. 74.</p> <p>Damgard, "Payment Systems and Credential Mechanisms with Provable Security Against Abuse by Individuals," Advances in Cryptology--CRYPTO '88, 1988, pp. 328-325.</p> <p>Davies, D.W. and Price, W.L.; "Security for Computer Networks: An Introduction to Data Security in Teleprocessing and Electronic Funds Transfer"; John Wiley &amp; Sons; Dec. 5, 1985; pp. 304-336.</p> <p>Dukach, Semyon; "SNPP: A Simple Network Payment Protocol"; MIT Laboratory for Computer Science; Cambridge.</p> <p>Even et al.; "Electronic Wallet"; pp. 383-386; 1983.</p> <p>Ferrarini, "Direct Connections for Software Selections," Business Computer Systems, Feb. 1984, pp. 35-38.</p> <p>Fujioka, et al, "ESIGN: An Efficient Digital Signature Implementation for Smart Cards," Advances in Cryptology-Eurocrypt '91, Apr. 1991, pp. 446-457.</p> <p>Gifford, David K.; "Cryptographic Sealing for Information Secrecy and Authentication"; Stanford University and Xerox Palo Alto Research Center; Communications of the ACM; vol. 25, No. 4; Apr., 1982.</p> <p>Hakola, et al, "A System for Automatic Value Exchange," Proceedings--Fall Joint Computer Conference, 1966, pp. 579-589.</p> <p>Hartv et al.; "Case Study: The VISA Transaction Processing System"; 1988.</p> <p>Information Network Institute, Carnegie Mellon University; Internet Billing Server; Prototype Scope Document; Oct. 14, 1993.</p> <p>International Organization for Standardization; "International Standard: Bank Card Originated Messages--Interchange Message Specifications--Content for Financial Transactions"; ISO 8583; 1987.</p> <p>Intuit Corp Quicken User's Guide; "Paying Bills Electronically"; pp. 171-192, no date.</p> <p>Jansson, Lennart; "General Electronic Payment System"; 7th Proceedings of the International Conference on Computer Communication; pp. 832-837; 1985.</p> <p>Kenny, "EDI Security: Risks and Solutions," COMPSEC 1992, The Ninth World Conference on Computer Security, Audit, and Control, Nov. 1992, pp. 341-352.</p> <p>Knapskog, Privacy Protected Payments- Realization of a Protocol That Guarantees Payor Anonymity, Advances in Cryptology-Eurocrypt '88, May 1988, pp. 107-122.</p> <p>Krajewski, M. et al.; "Applicability of Smart Cards to Network User Authentication"; Computing Systems; vol. 7, No. 1; 1994.</p> <p>Krajewski, M.; "Concept for a Smart Card Kerberos"; 15th National Computer Security Conference; Oct., 1992.</p> <p>Krajewski, M.; "Smart Card Augmentation of Kerberos"; Privacy and Security Research Group Workshop on Network and Distributed System Security; Feb., 1993.</p> <p>Lai et al., "Endorsements, Licensing, and Insurance for Distributed System Services", Information Sciences Institute Univ. of Southern CA., Assoc. for Computing Machinery 1994.</p> <p>Low et al., "Anonymous Credit Cards", pp. 1-16.</p> <p>Medvinsky et al.; "Electronic Currency for the Internet"; Electronic Markets; pp. 30-31, Sep., 1993.</p> <p>Medvinsky et al.; "NetCash: A Design for Practical Electronic Currency on the Internet"; Proc. 1st ACM Conf. on Comp. and Comm. Security; Nov., 1993.</p> <p>Messmer, "NIST Stumbles on Proposal for Public Key Encryption," Network World, Jul. 27, 1992, p. 1.</p> <p>National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29, no date.</p>					
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				Needham, Roger M., "Adding Capability Access to Conventional File Servers"; Xerox Palo Alto Research Center; Palo Alto, California; no date.	
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				"Announcing: Internet Shopkeeper" (8/2/1994) posting on comp.infosystems.www and misc.forsale	
				"Net Market ("Numerous News Media Stories" (4/94)) NY TIMES, front page of bus.	
				"Welcome First Time Visitors"	
				"What's New," <a href="http://archive.ncsa.uiuc.edu/SDG/Software/Mosaic/Docs/old-whats-new/whats-new-0294.html">http://archive.ncsa.uiuc.edu/SDG/Software/Mosaic/Docs/old-whats-new/whats-new-0294.html</a>	
				Archive of WWWorder mailing list (6/18/1994 - 6/13/1994)	
Examiner Signature				Date Considered	

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				Application Number	09/005479
				Filing Date	January 12, 1998
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
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